

**DEPARTMENT OF INSURANCE**

ADMINISTRATION & LICENSING SERVICES BRANCH  
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 (916) 322-1941 (FAX)  
[www.insurance.ca.gov](http://www.insurance.ca.gov)



**SCHEDULE OF FEES  
 FOR SECURITIES TRANSACTIONS  
 (Effective 03/17/2014)**

The California Insurance Code requires insurers to pay various fees in advance for securities transactions. To avoid any delay in processing, please submit your request with the appropriate fee payment. The following is a summary of the current required fees for each type of transaction:

<b>California Insurance Code Section</b>	<b>Type of Transaction</b>	<b>Current Processing Fee</b>	<b>New Processing Fee Effective 03/17/14</b>
940.1 & 11691(d)	Initial securities deposit	\$113.00	\$124.00
940.1 & 11691(d)	Each additional deposit	\$ 59.00	\$ 65.00
940.1 & 11691(d)	Each withdrawal	\$ 59.00	\$ 65.00
940.1 & 11691(d)	Each substitution/exchange (one deposit and one withdrawal)	\$ 59.00 deposit \$ 59.00 withdrawal	\$ 65.00 deposit \$ 65.00 withdrawal
12973	Each list of Verification of Securities on deposit.  Please specify "as of date" on your request (i.e., as of 12/31/200X).	\$ 15.00	\$ 17.00
949 & 1590	Each Certificate of Deposit  Please specify which "Insurance code Section" and "as of date" you're requesting (i.e., Ins Code Section 940/955 as of 12/31/20XX). <b>NOTE:</b> Companies with securities deposits under different Insurance Codes Section will require separate Certificates of Deposit for each code.	\$ 59.00	\$ 65.00

Please remit the appropriate fee with a check payable to "Department of Insurance" for each transaction to the following address:

California Department of Insurance  
 Securities Transaction Unit  
 300 Capitol Mall, Suite 14000  
 Sacramento, CA 95814

For securities forms and information, please refer to the California Department of Insurance's website at: [www.insurance.ca.gov](http://www.insurance.ca.gov). Or contact the Securities Transaction Unit at 916-492-3412, or via email at [securities@insurance.ca.gov](mailto:securities@insurance.ca.gov) for assistance.